

TRANSMITTAL FOR U.S. PATENT APPLICATION  
UNDER 37 C.F.R. § 1.53(b)

**Mail Stop: Patent Application**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Transmitted herewith for filing is the original patent application of:

Inventors: Alastair J.D. Beadle et al.

Date Filed: November 18, 2003

For: ***System and Method for Managing Relationships Between Brokers  
and Traders Using a Messaging Format***

Enclosed are:

☒ Specification, Claims and Abstract (40 Total Pages);

☒ Drawing(s) (9 Total Sheet(s) of ☒ Formal ☐ Informal);

☒ Signed Combined Declaration and Power of Attorney (3 Total Pages);  
☒ Newly executed (original);

☒ An Assignment of the invention to eSpeed, Inc. (3 Pages) is attached. A separate cover sheet (2 Pages) in compliance with 37 C.F.R. § 3.28 and § 3.31 is included with an Assignment recordal fee of \$40.00 pursuant to 37 C.F.R. § 1.21(h);

☒ Nonpublication Request (1 page);

☒ This Transmittal (2 pages);

☒ Certificate of Mailing (1 page); and

☒ Return Receipt Postcard.

Applicant is:

☒ Large Entity  
☐ Small Entity

The accompanying application is:

☒ Original  
☐ Continuation ☐ Divisional ☐ Continuation-In-Part

FEE CALCULATION (LARGE ENTITY)					FEE
	Number		Number Extra	Rate	<u>Basic Fee</u> \$770.00
Total Claims:	42	-20 =	22	X \$ 18.00	\$ 396.00
Independent Claims	4	- 3 =	1	X \$ 86.00	\$ 86.00
TOTAL FILING FEE =					\$ 1,252.00

- X Enclosed is a check in the amount of \$1,338.00 for fees.  
**The filing fee was originally calculated and a check generated for the amount of \$1,383.00. However, the filing fee was later calculated to be \$1,252.00, as shown above. Thus, please credit the amount of the difference, \$86.00, to Deposit Account No. 02-0384 of BAKER BOTTS L.L.P. A duplicate copy of this transmittal is enclosed.**
- X Please charge any additional fees required by this paper to Deposit Account No. 02-0384 of BAKER BOTTS L.L.P.

Respectfully submitted,

BAKER BOTTS L.L.P.  
Attorneys for Applicants



Samir A. Bhavsar  
Reg. No. 41,617

Dated: November 18, 2003

**Correspondence Address:**  
2001 Ross Avenue  
Dallas, Texas 75201-2980  
Phone: (214) 953-6581  
Fax: (214) 661-4581

**Customer Number:**

**05073**

ATTORNEY DOCKET NO.  
069547.0182

PATENT APPLICATION

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventors: Alastair J.D. Beadle et al.

Date Filed: November 18, 2003

For: *System and Method for Managing Relationships Between Brokers  
and Traders Using a Messaging Format*

**Mail Stop: Patent Application**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that the attached Patent Application (40 pages), Fee Transmittal Form (2 pages), a check in the amount of \$1,338.00, Formal Drawings (9 pages), Assignment (3 pages), Assignment Recordation Form (2 pages), check in the amount of \$40.00, Declaration and Power of Attorney (3 pages), Nonpublication Request (1), Baker Botts return postcard (1 postcard), and this Certificate of Mailing are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 18th day of November 2003 and is addressed to the Mail Stop: Patent Application, Commissioner For Patents, PO Box 1450, Alexandria, Virginia 22313-1450.



---

Willie Jiles

Express Mail Receipt  
No. EV 323507522 US

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

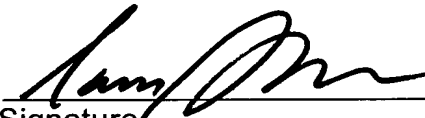
<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor		Alastair J.D. Beadle et al.
	Title	<b><i>System and Method for Managing Relationships Between Brokers and Traders Using a Messaging Format</i></b>	
	Atty Docket Number		069547.0182

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

BAKER BOTTS L.L.P.  
Attorneys for Applicants

Date: November 18, 2003

  
Signature

Samir A. Bhavsar  
Typed or printed name  
Reg No. 41,617

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicants may rescind this nonpublication request at any time. If applicants rescind a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicants subsequently file an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicants must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.